AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions, and listings, of claims in the application:

1-79. (cancelled)

80. (new) A computer-based system for trading financial instruments comprising:

a brokerage interface through which a client can, using a client computer, transmit and receive information such as client account information, quote information, assistance information to assist the client at the client computer in using the brokerage interface, and client order information;

a server connected to the brokerage interface for receiving from and transmitting to the brokerage interface information such as client account information, quote information, and client order information;

a mainframe computer connected to the server;

a trading system connected to the mainframe computer; and

a financial advisor computer connected to the mainframe computer,

wherein the mainframe computer is connected to the server, the trading system and the financial advisor computer for (1) transmitting to, and receiving from, either of the client computer or the financial advisor computer client information, associated with a particular client, that includes that client's account information and that client's order information, (2) determining whether that client's orders should be approved for execution based on application of predetermined, customizable business rules to that client's received account information and that client's received order information, and (3) executing approved client

orders, such that in response to a client of a user of the financial advisor computer entering an

order to trade a financial instrument:

the mainframe computer transmits a first alert in real-time to the financial advisor

computer including information pertaining to the trade,

the mainframe computer determines whether the order is validated or not, and

notifies the client of successful validation or non-validation, respectively, and

(A) in the case of successful validation, after notifying the client of successful

validation, the mainframe computer waits for client approval of the order before executing

the trade, and

the financial advisor computer is connected to the mainframe computer such

that, in response to the first alert, the user of the financial advisor computer can, in real-time,

take action regarding the trade prior to execution of the trade, and

(B) in the case of non-validation, the mainframe computer transmits a second

alert to the financial advisor computer indicating that the order has been blocked that includes

information pertaining to the trade, and

the financial advisor computer is connected to the mainframe computer such

that, in response to the second alert, the user of the financial advisor computer can, in real-

time, take action regarding the trade prior to execution of the trade.

81. (new) The system of claim 80, wherein the assistance information is provided

to the client through a trade wizard helper program.

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82. (new) The system of claim 80, wherein the predetermined, customizable business rules are designed to limit the client's risk in trading financial instruments and can be applied in real time.

83. (new) The system of claim 80, wherein the user of the financial advisor computer can make corrections to information that the client transmits from the client computer to the brokerage interface.

84. (new) The system of claim 83, wherein the user of the financial advisor computer can make the corrections in real-time.

85. (new) The system of claim 80, wherein the second alert includes reasons why the trade was blocked.